

## Supporting Statement B for Paperwork Reduction Act Submissions

**Title: Program Analysis and Evaluation (PA&E) Office, Stakeholder Engagement Division**

**(SED) Convenings Evaluation**

**OMB Control Number: 1670-NEW**

### **B. Collections of Information Employing Statistical Methods.**

1. Describe (including numerical estimates) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the collection as a whole. If the collection has been conducted previously, include the actual response rate achieved during the last collection.

The potential respondent universe for this evaluation includes individual representatives (approximately 1,000 cyber and physical security, emergency, and business continuity managers) of approximately 300 member organizations from three critical infrastructure sectors [Critical Manufacturing, Commercial Facilities, and Nuclear Reactors, Materials, and Waste (herein referred to as “Nuclear”)]. Those who have served as a representative for less than 3 months will be excluded.

Within each sector, member organizations belong to either the Sector Coordinating Councils (SCC) or Government Coordinating Councils (GCC). SCCs are self-organized and self-governed entities that represent critical infrastructure owners and operators and their respective trade or equivalent associations. GCCs are formed as the government counterpart for each SCC to enable interagency and cross-jurisdictional coordination. GCCs are comprised of federal, state, local, tribal, and territorial government entities.

Table 1 provides a summary of the estimated sample sizes for the member organizations and their representatives by sector.

**Table 1. Sample details by sector**

| Sector                 | Estimated number of member organizations |      | Estimated number of individual representatives |
|------------------------|--|------|--|
|                        | GCC                                      | SCC  |  |
| Critical Manufacturing | ~20                                      | ~100 | ~425   |
| Commercial Facilities  | ~5                                       | ~140 | ~425   |
| Nuclear                | ~17                                      | ~18  | ~150   |
|                        |  |      |  |
| TOTAL                  | ~42                                      | ~258 | ~1,000   |
|                        | ~300                                     |      |  |

Information will be collected via 10-minute online surveys with the approximately 1,000 individual representatives and in-depth virtual interviews (up to 1 hour) with a subsample of up to 75 individual representatives. The expected response rate for the online survey is 50 percent and, based on other CISA evaluations, we estimate roughly a third of survey respondents will agree to be interviewed. The sample for the in-depth interviews will be a convenience sample of those who completed the online survey and agree to be interviewed (up to a total of 75 representatives); the study team will follow up with respondents by email soon after each survey is completed and attempt to schedule a time for the in-depth interview. If more than 75 respondents indicate interest in participating, the study team will select participants to attempt to get an equal number of interviewees from each sector.

## 2. Describe the procedures for the collection of information including:

- Statistical methodology for stratification and sample selection,

The surveys are open to 100% of the eligible respondent universe; therefore, no statistical methodology will be utilized to determine stratification and sample selection.

CISA's SED sector chiefs will provide the study team with lists of all the member organizations and the names, emails, and phone numbers (when available) of the member organization representatives.

**Surveys.** A link to a 10-minute online survey will be sent via email to all representatives. The survey is designed so that each sector has a customized link with specific questions for that sector to account for some minor differences in the convenings, products, and services that each sector provides. This will help ensure that the representatives of each sector are asked questions that are most relevant to them.

**Interviews.** The study team will also conduct a series of virtual interviews (up to 1 hour) with up to 75 participants who complete the online survey and agree to participate in the interview. The study team plans to conduct the in-depth interviews by telephone or via a web-based conference call platform, such as Microsoft Teams.

- Estimation procedure,

This is a non-experimental and single-group post-program design meaning that no randomly assigned control group or comparison group will be used for this study. Instead, the evaluation will retrospectively assess participants' perspectives about the convening activities, products and services.

The **quantitative data** collected from the online survey will be analyzed using basic descriptive statistical analysis to summarize the basic features of the data through measures of central tendency (mean, mode, and median). If sample sizes permit, the evaluation team will also run appropriate inferential statistics to draw conclusions that extend beyond the immediate data—for

example, to assess whether satisfaction with convening activities, products, or services is correlated with organization characteristics (such as public agencies versus private organizations). Weighting may also be used to ensure that member organizations are appropriately represented when the number of staff that complete the survey for each member organization differs across organizations.

The **qualitative data** collected from the interviews will be analyzed using a content analysis approach to identify noteworthy practices and challenges related to how participants are leveraging convening activities, products, and services to enhance their abilities to respond to critical infrastructure threats. Content analysis will also be used to quantify the occurrence of certain words, phrases, subjects, or concepts among the data and find correlations and patterns in how concepts are communicated.

- Degree of accuracy needed for the purpose described in the justification,

Not applicable.

- Unusual problems requiring specialized sampling procedures, and

Not applicable.

- Any use of periodic (less frequent than annual) data collection cycles to reduce burden.

Not applicable.

3. Describe methods to maximize response rates and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield “reliable” data that can be generalized to the universe studied.

The following methods will be used to maximize response rates:

- The study team will create and send the survey using Qualtrics, a professional-grade survey software that allows respondents to access and complete the survey using a tablet, smartphone, or laptop. Electronic submission allows respondents to complete the survey at a time of their own choosing.
- Prior to the start of data collection, SED sector chiefs from the three selected sectors will first send an email to representatives notifying them that they will receive an email from the study team inviting them to take an online survey. The purpose of this initial email is to provide credibility and saliency to the study.
- Approximately a week later, the evaluation team will send an email with a survey link to each representative. Throughout the data collection period, weekly reminder emails will

be sent to those who have started the survey but have not finished, and to nonresponders. The reminder emails will include the survey link.

- The study team will make three rounds of reminder calls starting midway through the data collection period. The purpose of the reminder calls is to provide an opportunity to answer any questions the respondent may have, confirm their email address, and ensure the survey email has not gone to a spam folder. This strategy was successful in increasing the response rate for another CISA evaluation with a similar methodology and population and is in keeping with research showing that using multiple modalities for reminders can successfully increase response rates.<sup>1</sup>

The pilot test showed that respondents understood the survey questions and could respond confidently and accurately. In addition, based on results from recent similar work, the evaluation team expects that reaching a response rate for the survey of approximately 50 percent will provide information that is adequate for its intended use – to understand the extent to which CISA’s convening activities, products, and services provide timely, accurate, and useful information; and are accessed and used by stakeholders to improve decision-making and risk reduction.

4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.

Survey instruments were tested in a pilot study conducted with a convenience sample of nine representatives from member organizations across the three sectors. The purpose of the pilot was to estimate survey length, assess respondents’ understanding of the survey questions, test usability, and identify improvements in the flow and structure of the surveys. Results indicated that the survey took 10 minutes or less to complete. Some modifications, mainly wording changes that made questions clearer and more relevant, were made to the survey based on feedback from the pilot respondents.

While the interview guide was not pilot tested, it was reviewed by subject matter experts (SMEs). Since it is an open-ended semi-structured guide, the trained interviewers on the study team can rephrase and/or elaborate upon questions until the respondent understands them. Interviewers are also trained to stop at the one-hour mark so the time burden is already known.

5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

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<sup>1</sup> Edith D. de Leeuw, “To Mix or Not to Mix Data Collection Modes in Surveys,” *Journal of Official Statistics* 21, no. 2 (2005): 233–255.

Guidehouse Inc, with its subcontractor Mathematica, is conducting this evaluation under contract numbers 70RCSJ24FR0000002 and 70RCSA20FR0000137. Guidehouse received input and guidance on the plans for the design and analysis of this evaluation from CISA PA&E staff. The Guidehouse study team is led by the following individuals:

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